IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Assistant Commissioner for Patents Washington, D.D. 20231
ATTENTION LICENSING AND REVIEW

Declaration of James A. O'Malley

I, James A. O'Malley, do hereby declare as follows:

- 1. I am a registered United States patent attorney, Registration Number 45,952, and an associate in the firm of Trexler, Bushnell, Giangiorgi, Blackstone & Marr, Ltd., 105 W. Adams Street, Suite 3600, Chicago, Illinois 60603.
- 2. On January 5, 2001, our firm filed a United States Provisional Patent Application with the United States Patent and Trademark Office for an invention entitled "Improved Hydraulic Punch Driver", which was assigned Serial No. 60/259,947.
- 3. On November 13, 2001, our firm filed a United States Patent Application with the United States Patent and Trademark Office for an invention entitled "Hydraulic Punch Driver" (Serial No. unknown), which claimed priority from the United States Provisional Patent Application Serial No. 60/259,947.
- 4. On December 7, 2001, our firm received instructions from Mr. Steve Wehrle, Risk Manager of Greenlee Textron Inc. (the employer of the inventors), requesting that a German patent application be filed for this invention.
- 5. On December 10, 2001, our firm sent a letter to our German associates, Eisenfuhr, Speiser & Partner, requesting that they file a German patent application for this invention before January 5, 2002 (the one year bar date), but requested that they delay the filing of the German patent application until our firm notified them that the Foreign Filing License had been granted. A copy of this letter is attached as Exhibit 1.
- 6. On December 26, 2001, our firm sent a letter to Mr. William S. Field of William S. Field & Associates in which we requested that Mr. Field obtain a Foreign Filing License for this invention (enclosing the appropriate documents therewith) within one week of the date of the letter, as our firm had yet to receive a filing receipt license indicating that a foreign filing license was granted. A copy of this letter is attached as Exhibit 2.
- 7. On January 2, 2002, Mr. Field called our firm to inform us that the Foreign Filing License for this invention should be granted no later than January 4, 2002.

- 8. On January 2, 2002, our firm sent a letter to our German associates requesting that the German patent application be filed on January 4, 2002 as the Foreign Filing License should be granted by that date. A copy of this letter is attached as Exhibit 3.
- 9. On January 3, 2002, our German associates sent a letter to us indicating safe receipt of our letters dated December 10, 2001 and January 2, 2002 and confirming that a German patent application would be filed before January 5, 2002. A copy of this letter is attached as Exhibit 4.
- 10. On January 3, 2002, Mr. Field sent us a copy of a Foreign Filing License for this invention which was granted on January 3, 2002 and was assigned Serial No. P-105,234 and License No. 528,071. A copy of the Foreign Filing License is attached as Exhibit 5.
- 11. On January 31, 2002, our firm received a letter from our German associates (dated January 23, 2002) indicating that the German application was filed with the German Patent Office on December 28, 2001 and was assigned Serial No. 101 64 376.4. A copy of this letter is attached as Exhibit 6.
- 12. On February 7, 2002, our firm sent a letter to our German associates regarding the filing date of the German patent application as we requested the German application to be filed on January 4, 2002, but the application was filed on December 28, 2001. A copy of this letter is attached as Exhibit 7.
- 13. On February 13, 2002, our firm sent a reminder letter to our German associates regarding the filing date of the German patent application. A copy of this letter is attached as Exhibit 8.
- 14. On February 14, 2002, I received a telephone call from Mr. Jürgen Klinghardt, one of our German associates, in which he stated that a younger member of his firm had accidentally filed the German patent application on December 28, 2001 (six (6) days prior to the granting of the foreign filing license), rather than waiting to file the German patent application until he received our explicit instructions to do so.
- 15. Upon realizing that the German patent application was filed in violation of 35 U.S.C. §184, I prepared the instant Petition for Retroactive License and this Declaration.
- 16. The patent application filed in Germany on December 28, 2001 is virtually identical to the United States patent application filed on November 13, 2001.
- 17. I confirm that the subject matter in question was not under a secrecy order at the time it was filed abroad, and that it is not currently under a secrecy order.

- 18. This license is being diligently sought after discovery of the proscribed foreign filing.
- 19. This material was filed abroad through error and without deceptive intent without the required license under §5.11 first having been obtained.
- 20. I further declare that all statements made herein of my own personal knowledge are true and that all statements made on information and belief are believed to be true and further that these statements were with knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the above-referenced application or any patent issuing thereon.

Date 2/18/02

311211

Declaration of James A. O'Malley Petition For Retroactive License (37 CFR §5.25)

COUNSELORS AT LAW

THE CLARK ADAMS BUILDING 105 WEST ADAMS STREET, SUITE 3600 CHICAGO, ILLINOIS 60603-6299 (312) 704-1890

December 10, 2001

FOUNDED 1890

PATENT, TRADEMARK, COPYRIGHT AND RELATED MATTERS: ALL PHASES INCLUDING LICENSING AND LITIGATION

> FAX: (312) 704-8023 www.trexlaw.com

RICHARD R. TREXLER (1906-1995)
RICHARD A. GIANGIORGI
RAIFORD A. BLACKSTONE. JR.
DAVID J. MARR
LINDA L. PALOMAR
JAMES R. FOLEY
JAMES A. O'MALLEY
TIMOTHY M. McCARTHY
PAIGE A. KITZINGER

OF COUNSEL RICHARD BUSHNELL

<u>VIA FACSIMILE, CONFIRMATION AND</u> <u>ENCLOSURES VIA DHL</u>

Eisenfuhr, Speiser & Partner Martinistrasse 24 28195 Bremen Germany

Re:

Proposed German Patent Application

CLAIMING PRIORITY OF

United States Provisional Patent Application

Serial Nos. 60/259,947; and formal

Patent Application Serial No. (Not yet available)

For: "HYDRAULIC PUNCH DRIVER"

Our Ref: Greenlee Case 283-Germany (913/39742)

Dear Sirs:

We enclose herewith material to file a Patent Application in Germany <u>before</u>

<u>January 5, 2002</u>. Full particulars concerning the Applicant, etc., are set forth on the attached sheet of particulars. We will advise you of the <u>serial number of the formal patent application</u> filed on November 13, 2001 as soon as it is available to us.

Enclosed please find the following:

- 1) Specification 16 pages
- 2) Claims six pages 22 claims
- 3) Abstract one page
- 4) A copy of the informal drawingssix sheets, 6 FIGS.

We will forward under separate cover the Certified Copies of the United States Provisional and formal applications and the formal drawings.

Eisenfuhr, Speiser & Partner December 10, 2001 Page 2

NOTE: Please delay filing this patent application until we notify you that the Foreign Filing License has been granted.

Kindly acknowledge safe receipt of these instructions by return facsimile.

Please advise if you need anything further from us to comply with the filing requirements.

Thank you for your cooperation.

Sincerely,

TREXLER, BUSHNELL, GIANGIORGI, BLACKSTONE & MARR, LTD.

Bv

Linda L. Palomai

LLP/mk/Enc.

Enclosures via DHL

Foreign Filings

Greenlee Case 283-Germany

FOR:

"HYDRAULIC PUNCH DRIVER"

INVENTOR/S

William F. Nordlin 1672 Candlewick Dr.

S.W. Poplar Grove, Illinois 61065 USA

Thomas Gene Boese

3993 Courtland Terrace

Rockford, Illinois 61109 USA

APPLICANT:

GREENLEE TEXTRON INC.

4455 Boeing Drive

Rockford, Illinois 61109 USA

(A corporation of the state of Delaware)

PRIORITIES:

UNITED STATES PROVISIONAL PATENT APPLICATION

SERIAL NO. 60/259,947 Filed: January 5, 2001

UNITED STATES FORMAL PATENT APPLICATION

SERIAL NO. Not available yet Filed: November 13, 2001

COUNSELORS AT LAW

THE CLARK ADAMS BUILDING 105 WEST ADAMS STREET, SUITE 3600

CHICAGO. ILLINOIS 60603-6299

(312) 704-1890

FOUNDED 1890

PATENT, TRADEMARK, COPYRIGHT AND RELATED MATTERS: ALL PHASES INCLUDING LICENSING AND LITIGATION

> FAX: (312) 704-8023 www.trexlaw.com

December 26, 2001

OF COUNSEL RICHARD BUSHNELL

TIMOTHY M. McCARTHY PAIGE A. KITZINGER

RICHARD R. TREXLER (1906-1995)

RAIFORD A. BLACKSTONE, JR.

RICHARD A. GIANGIORGI

DAVID J. MARR LINDA L. PALOMAR

JAMES R. FOLEY JAMES A. O'MALLEY

VIA FEDERAL EXPRESS

Mr. William S. Field William S. Field & Associates 2101 Crystal Plaza Arcade PMB 329 Arlington, Virginia 22202

 $\mathcal{M}_{i}^{(k)}(\mathcal{M}_{i}, \mathcal{M}_{i}) = \mathbb{I}_{i,j}(\mathcal{M}_{i}, \mathcal{M}_{i}, \mathcal{M}_{i}, \mathcal{M}_{i})$

Re:

Greenlee Textron Inc.

United States Patent Application

Based Upon U.S. Provisional Application Serial No. 60/259,947, filed on January 5, 2001

For: HYDRAULIC PUNCH DRIVER
Our Ref.: Greenlee Case 283 (913/38954)

Dear Bill:

For the above-identified patent application, please find enclosed:

- 1. An original and a copy of a Petition for Expedited Foreign Filing License;
- Two copies of the patent application which we filed on November 13, 2001, including six (6) sheets of informal drawings;
- A copy of an executed Declaration;
- 4. A copy of an executed Assignment from the inventor to Greenlee Textron Inc.; and
- 3. A check for \$130.00 for the Petition fee.

Please proceed with obtaining the Foreign Filing License for this application and return it to our office, along with one copy of items (1) and (2). We need to have the foreign filing license within one (1) week of the date of this letter. We would also like to have a copy of the foreign filing license faxed to (312) 704-8023 to my attention when you receive it.

Mr. William S. Field . William S. Field & Associates December 26, 2001 Page 2

If you have any questions, please contact us at your convenience.

Sincerely,

TREXLER, BUSHNELL, GIANGIORGI, BLACKSTONE & MARR, LTD.

By:

James A. O'Malley

JAO:74831-1 Enclosures

COUNSELORS AT LAW

THE CLARK ADAMS BUILDING 105 WEST ADAMS STREET, SUITE 3600 CHICAGO, ILLINOIS 60603-6299

(312) 704-1890

FOUNDED 1890

PATENT, TRADEMARK, COPYRIGHT AND RELATED MATTERS; ALL PHASES INCLUDING LICENSING AND LITIGATION

January 2, 2002

FAX: (312) 704-8023 www.trexlaw.com

VIA FACSIMILE WITH CONFIRMATION VIA AIR MAIL

OF COUNSEL RICHARD BUSHNELL

RICHARD R. TREXLER (1906-1995)

RAIFORD A. BLACKSTONE, JR.

RICHARD A. GIANGIORGI

DAVID J. MARR

JAMES R. FOLEY

LINDA L. PALOMAR

JAMES A. O'MALLEY TIMOTHY M. McCARTHY

PAIGE A. KITZINGER

Eisenfuhr, Speiser & Partner Martinstrasse 24 28195 Bremen GERMANY

Re:

Proposed German Patent Application

CLAIMING PRIORITY OF

United States Provisional Patent Application

Serial No. 60/258,947; and formal

Patent Application Serial No. (unknown)
For: "HYDRAULIC PUNCH DRIVER"

Our Ref.: Greenlee Case 283-Germany (913/39742)

Dear Sirs:

Further to our letter dated December 10, 2001, please proceed with filing the above-identified patent application on <u>January 4, 2002</u>. The foreign filing license for this application should be granted by January 4, 2002 (but even if it is not granted, you are to file on January 4, 2002).

Please note that the formal United States patent application has not yet been assigned a Serial Number. We will forward this information to you once we receive it from the United States Patent and Trademark Office. If the Serial Number is necessary for the filing of the German patent application, please base the priority only on the United States provisional patent application Serial No. 60/258,947.

Kindly acknowledge safe receipt of these instructions by return facsimile.

Please advise if you need anything further from us to comply with the filing requirements.

Eisenfuhr, Speiser & Partner January 2, 2002 Page 2

Thank you for your cooperation.

Sincerely,

TREXLER, BUSHNELL, GIANGIORGI, BLACKSTONE & MARR, LTD.

Bv:

Linda L. Palomar

LLP/JAO:74967-1

Eisenführ, Speiser & Partner

BY FAX ONLY

Messrs.

Trexler, Bushnell, Giangiorgi

& Blackstone, Ltd.

Attn.: Ms. Linda L. Palomar

105 West Adams Street, 36th Floor

Chicago, III. 60603-6299

U. S. A.

Bremen,

3 January 2002

Your Ref.: Greenlee Case 283-Germany (913/39742)

Our Ref.: G 588 SAS/hs

Direct Dial:

+49-421-36 35 341

Greenlee Textron Inc.

New German patent application

Hydraulic punch driver

Dear Ms. Palomar.

We confirm safe receipt of your letters dated December 10. 2001 and January 2, 2002 and confirm that the German patent application will be filed before January 5, 2002.

As regards the priority data of the United States provisional patent application please advise, whether the serial number 60/259,947 or 60/258,947 is correct. We have noted that the data provided in your two above referenced letters differs.

The serial number of the formal US application can be submitted to the German Patent and Trademark Office later. Please provide this serial number at your earliest convenience.

We will keep you informed on the further development of this filing.

Very truly yours,

Eisenführ, Speiser & Partner

(Mark Andres)

Bremen

Patentanwälte European Patent Attorneys Dipl.-Ing. Günther Eisenführ Dipl.-Ing. Dieter K. Speisor Dr.-Ing. Warner W. Rabua Dipl.-Ing. Jürgen Brügge Dipl.-Ing. Jürgen Klinghardt Dipl.-Ing. Klaus G. Göken

Dipl.-Ing. Klaus G. Goken
Jochch Enlors
Dipl.-Ing. Mark Andres
Dipl.-Chem. Dr. Uwe Stilkenböhmer
Dipl.-Ing. Stephan Keck
Dipl.-Ing. Johannes M. B. Wasiljeff
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mail@eisenfuhr.com http://www.eisenfuhr.com

Hamburg Patentanwalt

Patentanwall European Patont Attorney Dipl.-Phys, Frank Meier

Rechtsanwälte Rainer Böhm Nicol A. Schrömgens, LL. M.

München

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European Patent Attorneys
Dipl.-Phys. Heinz Nöth
Dipl.-Wirt.-Ing, Rainer Fritsche
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Dipl.-Chem, Olaf Ungerer
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Digl.-Ing, Jutta Kaden
Patentanwelt
Digl.-Phya. Dr. Andreas Theobald

Alicante

European Trademark Attorney Dipl.-Ing. Jürgen Klinghardt

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P. 92

UNITED STATES DEPARTMENT OF COMMERCE

Patent and Trademark Office

Address: COMMISSIONER OF PATENTS AND TRADEMARKS

Art Unit

Paper Number

Washington, D.C. 20231

SERIAL NUMBER REQUEST DATE		FIRST NAMED APPLICANT	ATTORNEY DOCKET N			
P-105,234	12/31/01	WILLIAM F. NORDLIN, ET AL.	913/38954/283			
Title: HYD F	RAULIC PUNCH DRI	VER				

Correspondence Address:
LINDA L. PALOMAR
TREXLER, BUSHNELL, GIANGIORGI & BLACKSTONE & MARR
105 W. ADAMS STREET, 36TH FLOOR
CHICAGO, ILL 60603

Licensee under 35 U.S.C. 184 is hereby granted to file in any foreign country a patent application and any amendments thereto corresponding to the subject matter of this U.S. application identified above and/or any material accompanying the petition. This Ilcense is conditioned upon modification of any applicable secrecy order and is subject to revocation without notice.

License Number:

528,071

Grant Date:

03-Jan-02

Approved

or Commissioner of Patents and Trademar

This license empowers the filling, the causation and the authorization of the filling of a foreign application or applications on the subject matter identified above, subsequent forwarding of all duplicate and formal papers and the prosecution of such aplication or applications.

This license is granted under 37 CFR 5.15(a

This license is to be retained by the licensee and may be used at anytime on or after the date thereof. This license is not retroactive unless specifically indicated.

The grant of this license does not in any way lesson the responsibility of the licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations, especially with respect to certain countries, of other agencies, particularly the Department of the Treasury; Office of Munitions Control, Department of State (with respect to Arms, Munitions and Implements of War); the Bureau of Trade Regulation, Office of Export Administration, Department of Commerce; and the Department of Energy.

LICENSE FOR FOREIGN FILING

[Title 35, United States Code (1952) Sections 184, 185, 186]

Eisenführ, Speiser & F.

Messrs. Trexler, Bushnell, Giangiorgi & Blackstone, Ltd. Attn.: Ms. Linda L. Palomar

105 West Adams Street, 36th Floor

Chicago, III. 60603-6299

Bremen,

U. S. A.

23 January 2002

Your Ref.:

Greenlee Case 283-Germany (913/39742)

Our Ref.:

G 588 SAS/inl

Direct Dial:

+49-421-36 35 341

Greenlee Textron Inc. German patent application 101 64 376.4 Hydraulic punch driver

Dear Ms. Palomar,

Thanking you for this order we would like to advise that the above mentioned application has now been filed in the German Patent and Trademark Office in foreign language. According to German Patent Law we will prepare and file a German translation until 28 March 2002 and report thereon upon filing.

Please, note all data regarding this case from the enclosed filing receipt and LIST OF PARTICULARS.

In the absence of respective instructions we have not yet requested examination of this application. The final term for filing the request for examination expires on 28 December 🖊 2008.

> Very truly yours, Eisenführ, Speiser & Partner

> > Patentanwalt

RECEIVED APR 2 3 2003

OFFICE OF PETITIONS

Bremen

Patentanwälte European Patent Attorneys Dipl.-Ing. Günther Eisenführ Dipl.-Ing. Dieter K. Speiser Dr.-Ing. Werner W. Rabus Dipl.-Ing. Jürgen Brügge Dipl.-Ing. Jürgen Klinghardt Dipl.-Ing. Klaus G. Göken

Jochen Ehlers Dipl.-Ing. Mark Andres Dipl.-Chem. Dr. Uwe Stilkenböhmer

Dipl.-Ing. Stephan Keck Dipl.-Ing. Johannes M. B. Wasiljeff

Patentanwalt

Dr.-Ing. Stefan Sasse

Rechtsanwälte Ulrich H. Sander

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Sabine Richter

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European Patent Attorney Dipl.-Phys. Frank Meier

Rechtsanwälte

Rainer Böhm

Nicol A. Schrömgens, LL. M.

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Dipl.-Wirt.-Ing. Rainer Fritsche

Lbm.-Chem. Gabriele Leißler-Gers Dipl.-Ing. Olaf Ungerer

Patentanwalt

Dipl.-Chem. Dr. Peter Schuler

Berlin

Patentanwälte

European Patent Attorneys Dipl.-Ing. Henning Christiansen

Dipl.-Ing. Joachim von Oppen

Dipl.-Ing. Jutta Kaden

Patentanwalt

Dipl.-Phys. Dr. Andreas Theobald

European Trademark Attorney Dipl.-Ing. Jürgen Klinghardt

Encis.

1 Filing Receipt (Copy)

1 List of Particulars

1 Information Sheet 1 debit-note, in dupl.



DEUTSCHES PATENT- UND MARKENAMT

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Martinistraße 24 28195 Bremen Fax +49-(0)421-337 8788 (G3) Fax +49-(0)421-328 8631 (G4) Tel. +49-(0)421-36 35 0 mail@eisenfuhr.com

LIST OF PARTICULARS

Date: 23 January 2002

YOUR FILE: Greenlee Case 283-Germany (913/39742)

OUR FILE: G 588

APPLICATION FOR: patent application

COUNTRY: Germany

SERIAL NUMBER: 101 64 376.4

APPLICANT: Greenlee Textron Inc.

4455 Boeing Drive

Rockford, Illinois 61109

TITLE: Hydraulischer Schlagantrieb

PRIORITIES: 05.01.2001 - 60/259,947 - US

13.11.2001 - - US

FILING DATE: 28 December 2001

LAID OPEN AFTER APPROX.: 5 July 2002

EXAMINATION PETITION: 28 December 2008

ANNUITIES FROM: 31 December 2003 V ____ CPA

COUNSELORS AT LAW

THE CLARK ADAMS BUILDING 105 WEST ADAMS STREET, SUITE 3600 CHICAGO, ILLINOIS 60603-6299 (312) 704-1890

FOUNDED 1890

PATENT, TRADEMARK, COPYRIGHT AND RELATED MATTERS; ALL PHASES INCLUDING LICENSING AND LITIGATION

February 7, 2002

FAX: (312) 704-8023 www.trexlaw.com

OF COUNSEL RICHARD BUSHNELL

PAIGE A. KITZINGER

RICHARD R. TREXLER (1906-1995)

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LINDA L. PALOMAR

VIA FACSIMILE

Eisenfuhr, Speiser & Partner Martinistrasse 24 28195 Bremen GERMANY

Re:

German Patent Application No. 101 64 376.4

In the name of Greenlee Textron Inc.

Your Ref.:

G 588 SAS/hs

Our Ref.:

Greenlee Case 283-Germany (913/39742)

Dear Sirs:

Thank you for your letter dated 23 January 2002 regarding the above-identified German patent application. There is, however, some confusion as to the filing date of the German patent application.

In our letter to you dated 10 December 2001, we requested that you file the application before January 5, 2002, but that you do not file the application until we notify you that the Foreign Filing License was granted. Then, in our letter dated 2 January 2002 we requested that you file the application on 4 January 2002. In response to our two letters, you confirmed in a letter dated 3 January 2002 that the application would be filed before 5 January 2002.

Thus, based on the correspondence described above, we do not understand why your letter dated 23 January 2002 states that the filing date for the German patent application is 28 December 2001, as the application should have been filed on 4 January 2002. Please explain.

Sincerely,

TREXLER, BUSHNELL, GIANGIORGI, BLACKSTONE & MARR, LTD.

By

James A. O'Malley

JAO:305301

COUNSELORS AT LAW

THE CLARK ADAMS BUILDING 105 WEST ADAMS STREET, SUITE 3600 CHICAGO, ILLINOIS 60603-6299 (312) 704-1890

FOUNDED 1890

PATENT, TRADEMARK, COPYRIGHT AND RELATED MATTERS: ALL PHASES INCLUDING LICENSING AND LITIGATION

February 7, 2002

FAX: (312) 704-8023 www.trexlaw.com

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February 13, 2002

REMINDER

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By:

James A. O'Mallev

JAO:305301

Case 283 913/38954 February 19, 2002 RAG/LLP/JAO/tes

Applicant: Serial No.: NORDLIN et al. Not yet assigned

Filed:

November 13, 2001 HYDRAULIC PUNCH DRIVER

For:

Enclosed: PETITION FOR RETROACTIVE LICENSE (37 CFR §5.25) (in duplicate); exhibits A through C and 1 through 8 (in duplicate); a check in the amount of \$130.00; Certificate of First Class Mailing and this postcard.

Receipt Acknowledged:	
KECEIDI MOMO	

F/U: 03/19/02

HON. COMMISSIONER FOR TRADEMARKS:

Kindly stamp card with date of receipt of attached material and return to attorneys of record.

Commissioner of Patents and Trademark 0001

Client/Matter

Invoice No. OPER-TXS

Date

02/18/02

Atty Exp Description Cost for **G62** 00913-38954 PA 283 "IMPROVERAG

02/18/02

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Amount

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TREXLER, BUSHNELL, GIANGIORGI BLACKSTONE & MARR, LTD

105 W. ADAMS ST., SUITE 3600 CHICAGO, IL 60603-6299 PH. (312) 704-1890

THE NORTHERN TRUST COMPANY CHICAGO, ILLINOIS 60675 2-15-710

02/18/02 DATE

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